

DEPARTMENTAL POLICY



TITLE	TRAINING AND DEVELOPMENT POLICY		
POLICY OWNER	STRATEGIC ORGANIZATION, LEADERSHIP & INDIVIDUAL DEVELOPMENT (SOLID)		
POLICY NUMBER	SLD 10-01	SUPERSEDES	TDS-02-01
ISSUE DATE	April 8, 2010	EFFECTIVE	Immediately
DISTRIBUTED TO	ALL EMPLOYEES		
ORIGINAL APPROVED BY	 Brian Stiger, Director Department of Consumer Affairs		
PAGE	1 of 12	ATTACHMENT	none

Purpose	The purpose of this policy is to provide a basic structure for a training program that promotes a capable, efficient and service-orientated workforce by developing employees' skills and abilities through economical, effective, quality training programs.
Applicability	This policy applies to all employees of the Department of Consumer Affairs.
Policy	It is the policy of the Department of Consumer Affairs to assure quality service to the public by developing the skills and abilities of its employees through training. Such training will be economical, effective, and consistent with the interests of the public, the state, and individual employees. Training opportunities will be based on organizational needs, job requirements or job performance, the individual's interest in personal development, and available resources. All employees will have equal access to training opportunities.
Revisions	Determination of the need for revisions of this policy is the responsibility of the Strategic Organization, Leadership & Individual Development (SOLID) office. Direct questions about the Department's training policy to SOLID at (916) 574-8316 or solid@dca.ca.gov .

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1.0 TRAINING

The Department of Consumer Affairs (DCA) recognizes the beneficial effects training has in the workplace. A well-trained staff can achieve and exceed work standards and create efficient work ethics, habits, and methods. It provides the environment and the opportunity for all employees to develop to the full extent of their potential, and to apply this development to the needs of DCA and the State, while maintaining compliance with state mandates.

2.0 GENERAL POLICY

It is the policy of DCA to ensure quality service to the public by developing the knowledge, skills and abilities of its employees through training. Such training will be economical, effective and consistent with the interests of the public, the State and individual employees. The purpose of training is to assist employees in the acquisition of the skills, knowledge, work habits and attitudes necessary for efficient and effective job performance.

Training opportunities will be based on organizational needs, job requirements or job performance, the individual's interest in personal development and available time and fiscal resources. In addition, DCA has identified 17 competencies as essential for successful leadership in the public sector. DCA is committed to providing each and every employee, if they so desire, the opportunity to develop in the competencies required of an effective leader, supervisor or manager as well as opportunities to increase their effectiveness in their current position.

Training opportunities will be allocated without regard to race, color, religion, ancestry, sex, marital status, sexual orientation, disability, national origin, age or political affiliation. Every reasonable effort will be made to ensure that employees have equal opportunity to participate in training appropriate to their classification, responsibilities and individual requirements.

Bargaining unit agreements regarding training issues supersede this policy statement. In areas where the agreements are silent, this policy will apply to all represented and non-represented employees.

3.0 SCOPE

These guidelines provide standards for the development and provision of an effective, economical employee training program consistent with the interests of the public, the State, and individuals employed by the State.

4.0 AUTHORITY

The authority and direction for the DCA training policy is founded in the following sources:

- a. Government Code Sections 19400 – 19406, 19995 – 19995.4
- b. 2 CCR, Section 599.815 – 599.825
- c. Developing a High Performance 21st Century Workforce for California Government: Result of Executive Order W-151-97
- d. State Administration Manual
- e. State Training Policy
- f. Title VIII (Cal/OSHA)
- g. Bargaining Unit Agreements
- h. Departmental Directives
- i. Other government codes, rules and regulations

5.0 DEFINITIONS

5.1 Training

The State has defined training as the process whereby State employees, either individually or in groups, participate in a formalized program of instruction (with lesson plan, instructor, or instructional device) to acquire skills, knowledge work habits and attitudes for their current or future job performance.

5.2 Training Costs

Training costs are defined as those direct expenditures required for training purposes and not included elsewhere in the Departmental budget's line items (e.g., salaries, travel, per diem, etc.). Training costs are limited to course or program materials (books, tools, etc.) required for successful training completion, consultant fees, and instructor costs.

6.0 TRAINING TYPES

The State has established two types of training, defined as follows:

6.1 In-Service

In-service training is contracted for, sponsored by or administered by the DCA for its employees through the Strategic Organization, Leadership and Individual Development (SOLID) office. DCA maintains a high degree of control over the course content of in-service training. Such training includes courses or activities:

- a. Developed, administered and delivered by SOLID trainers or other DCA employees.
- b. Designed or contracted exclusively for DCA through private consultants or firms, accredited colleges or universities, or other agencies.

6.2 Out-Service

Out-service training is presented by organizations other than DCA. These courses are open to the public or other State employees. Sponsoring agencies maintain control over course content for out-service training. Such training includes courses or activities:

- a. Offered through accredited colleges or universities.
- b. Offered by other State departments.
- c. Sponsored by professional organization.
- d. Conducted by private consultants or firms or other non-State agencies.
- e. Conducted primarily for educational purposes and not primarily for professional affiliation purposes such as conferences.

7.0 TRAINING CATEGORIES

The State has established four categories of training, defined as follows:

7.1 Job-Required

Training which is designed to ensure adequate performance in a current assignment. This includes training mandated by law or other State authority, established by the Department for specific classifications.

7.2 Job-Related

Training which is designed to increase job proficiency or improve performance above the acceptable level of competency established for a specific job assignment. This includes training which relates to the duties of an employee's present position.

7.3 Upward Mobility

Training which is designed to facilitate movement of employees from designated classifications into classifications with increased career opportunities. This type of training is available to those employees accepted into the Department's Upward Mobility Program. Participation in the Upward Mobility Program is contingent on staffing needs and available funding and participants must meet the following criteria:

- a. Must be a permanent employee performing satisfactorily on the job.
- b. Must be in a designated upward mobility classification as defined in 22 CCR, Section 547.82(h).
- c. Must select one of the targeted upward mobility classifications as a career goal as defined in the DCA Upward Mobility Handbook.
- d. Must not have completed the minimum requirements for the targeted classification chosen as a career goal.
- e. Must have completed an Upward Mobility Program Application and been approved by the Equal Employment Opportunity office.

For more information, refer to DCA's Upward Mobility policy (EEO-04-04), the DCA Upward Mobility handbook available on the SOLID intranet page and the DCA Equal Employment Opportunity Office.

7.4 Career-Related

Career-related training is intended to help provide opportunity for self-development while also assisting in the achievement of State goals. This includes training not directly related to an employee's current job assignments but which is designed to assist in the development of the employee's state career potential.

8.0 TRAINING PRIORITIES

State policy mandates that each department allocate funds for training to each category and both types of training in conformance with the State's established priority. Training funds will always be limited by budgeted resources; therefore, judgment must be applied when choosing among conflicting training needs. The four training categories previously defined are arranged in priority order. The job-required category is the highest priority and the other categories follow in descending order of priority. This priority arrangement should be used to allocate training funds and to resolve conflicting training choices. Here are the principles which determine this priority order:

- a. Present needs are more compelling than future needs.
- b. Training to achieve minimum job standards is mandatory.
- c. Training which would produce good, observable results must be considered before training that would not result in perceptible, positive changes in job performance.

9.0 ROLES AND RESPONSIBILITIES

Responsibility for developing the State's workforce is shared by the Department of Personnel Administration, DCA, and its offices and employees.

9.1 Department of Personnel Administration (DPA)

DPA establishes and maintains a statewide training policy and training rules under the California Code of Regulations, Title 2, so that the State's training program is administered efficiently, effectively, and economically. It provides guidelines to departments to assist in implementing and complying with provisions of the State Training Policy, and periodically evaluates each

department's training program to assess its efficiency and effectiveness, and to ensure its conformance with that policy.

Bargaining unit agreements regarding training issues supersede this policy statement. In areas where the agreements are silent, this policy will apply to all represented and non-represented employees.

9.2 Strategic Organization, Leadership, & Individual Development (SOLID) Office

It is the goal of the SOLID office to develop and provide a comprehensive employee training and development program, through in-service and out-service training and other activities. It is the responsibility of the SOLID office to:

- a. Establish an internal training policy consistent with the State Training Policy.
- b. Collect training information and report it periodically to DPA.
- c. Periodically evaluate training programs and courses, and annually evaluate the DCA's overall training program for review by DPA.
- d. Keep employees informed, through their managers, supervisors and training coordinators of training activities and sources available for meeting departmental needs.
- e. Identify the most significant training needs for the greatest number of employees with common performance requirements.
- f. Develop and provide individual in-service training programs on a priority basis to meet those needs.
- g. Evaluate and modify in-service training program content on a continuing basis to ensure that training provided is responsive to actual need.
- h. Develop and deliver customized training for groups within DCA to address specific performance issues.
- i. Utilize out-service training capabilities, as required, to meet group or individual training and development needs.

9.3 Training Coordinators

A training coordinator is appointed by each Board, Bureau and Division to serve as a direct communication link between the SOLID office and employees. It is the responsibility of the training coordinator to:

- a. Assist employees in the proper completion and submission of the Training Request (99T-2).
- b. Assist employees in the registration of training courses.
- c. Assist board, bureau or division leadership in the tracking of training budget expenditures.
- d. Serve as a central point of contact for the SOLID office for issues related to training and development as it affects their board, bureau or division.

9.4 Managers and Supervisors

Managers and supervisors are responsible for the training and development of their employees. It is the responsibility of DCA managers and supervisors to:

- a. Recognize the training needs of subordinates through performance evaluation and individual development (IDP) planning, and take steps to meet those needs.

- b. Relate DCA goals and objectives to those of the employees.
- c. Ensure subordinates comply with mandatory or job-required training requirements and/or advise the SOLID office of course waivers for required training if applicable.
- d. Ensure subordinate attendance at scheduled training.

9.5 Employees

It is the responsibility of each permanent employee to:

- a. Actively participate in job-required training.
- b. Seek out training and development opportunities to improve their performance on the job.
- c. Maintain a working knowledge of the DCA's Training and Development Guidelines, as described here and as publicized through DCA memorandums and flyers.
- d. Make known individual training needs and desires to the supervisor on a continuing, as-needed basis.

10.0 SOLID TRAINING COURSES

Within the Department of Consumer Affairs (DCA), the Strategic Organization, Leadership and Individual Development (SOLID) office is charged with the responsibility for the design and coordination of departmental training plans to support the professional development of all DCA employees.

10.1 Course Calendar

The SOLID office will determine the number of participants which can be accommodated in each course as well as the type and number of courses to be offered annually. These decisions will be based on the identified training needs of the organization, space limitations and funding availability. Training course schedules are announced quarterly and posted on the SOLID page of the DCA Intranet.

10.2 Attendance

If an employee is enrolled in a SOLID course and will be unable to attend, the employee's manager or supervisor is encouraged to find a suitable substituting employee to attend in his or her place. If a substitution cannot be located, cancellation of enrollment in SOLID training courses should be made at least 24 hours prior to the scheduled start date of the course. To cancel enrollment, the employee, the employee's manager or supervisor, or the employee's training coordinator can contact the SOLID office at (916) 574-8316 or SOLID@dca.ca.gov.

For employees who are enrolled in a SOLID course but do not attend, and have failed to notify the SOLID office in advance, a notice will be sent to the employee's direct manager or supervisor advising them of the non-attendance.

11.0 REIMBURSEMENT OF EXPENSES AND USE OF STATE TIME

There exist many different training options for DCA staff. It is in the best interest of the DCA and the State to pursue the most beneficial and cost-effective training available. Expenses and time for training courses will be approved according to the following:

11.1 Job-Required and Job-Related Training

Training will be reimbursed 100 percent for direct costs of registration fees, tuition and materials. Every effort should be made to schedule the course inside the geographical area in which the employee would normally be expected to commute and within the employee's normal work hours. If this is not possible, the employee will be reimbursed 100 percent for time and travel costs incurred as a direct result of attending the training event. Employees are expected to conform to all state rules and reimbursement limits as they relate to State travel (see State Administration Manual, Chapter 0700.)

11.2 Upward Mobility

Employees who are in the DCA Upward Mobility Program will be reimbursed 100 percent for direct costs of registration fees, tuition and materials for training directly related to their Upward Mobility Plan. For college credit courses, reimbursement is limited to the annual resident registration fees (6.1 or more units) charged by the California State University and College System.

Every effort should be made to schedule the course inside the geographical area in which the employee would normally be expected to commute and within the employee's normal work hours. If this is not possible, the employee will be reimbursed 100 percent for time and travel costs incurred as a direct result of attending the training event. Employees are expected to conform to all state rules and reimbursement limits as they relate to State travel (see State Administration Manual, Chapter 0700.)

11.3 Career-Related

Reimbursement for career-related training is at the discretion of an employee's manager or supervisor and is dependent on fiscal resources, employee's job performance, and operational needs. Reimbursement for direct costs of tuition, registration fees and books/supplies required for the course is limited to a maximum per fiscal year of 75% of the annual resident registration fees (6.1 or more units) charged by the California State University and College System.

To obtain reimbursement for career-related training, the employee must submit to his or her immediate supervisor a completed Travel Expense Claim, std. 262, along with the following:

- an original receipt for payment
- proof of successful completion of each class
- proof of a grade of 'C' or higher for academic courses

No travel or per diem costs will be reimbursed for career-related training; however the supervisor may approve limited release time on a case-by-case basis.

12.0 **TRAINING REQUESTS**

Both in-service and out-service training may be requested by completing a Training Request Form 99T-2 and submitting it to the SOLID office. Instructions on how to complete the form are on the reverse side of the form. An electronic copy of the Training Request Form in Adobe (.pdf) and Microsoft Word (.doc) formats can be downloaded from the SOLID page of the DCA Intranet. There may be additional training request procedures for individual boards, bureaus, committees or divisions. Employees are encouraged to check with their assigned Training Coordinator for specific instructions on the training request process.

13.0 **TRAINING APPROVAL**

DCA employees must obtain advanced approval for all training expenditures as well as travel and/or leave time for the attendance of training events by obtaining the appropriate signatures on the Training Request Form 99T-2. The approval chain for training is as follows:

DCA Training Authorization	
Bureau, Board, DCA Employees	Immediate supervisor, AND in instances where the training cost is greater than \$1,000 or involves out-of-state travel reimbursement for DCA employees, the additional approval of the Deputy Director or Executive Officer is required.
Deputy Directors and Bureau Chiefs	Chief Deputy Director
Executive Officer	Board Chair/President or designee
Board Chair/President	Deputy Director, Board/Bureau Support
Chief Deputy Director	Director
Director	Agency Secretary

14.0 REQUIRED COURSES

In order to ensure the success of DCA and to maintain compliance with state mandated training, all DCA employees are subject to some required courses. All required courses are considered job-required (see 7.1 Job-Required Training.)

14.1 Training Requirements

All affected employee must attend the required courses within the time frame specified in the table below. A list of available courses that satisfy these requirements is available on the SOLID page of the DCA Intranet.

Course Title	For Whom	How Often		Authority	Responsible Party
		State Mandated?	DCA Policy		
Sexual Harassment Prevention Training	All DCA Staff (including students)	Yes, every two years for managers and supervisors	Same as mandate for all staff	<ul style="list-style-type: none"> Title VII of the Civil Rights Act of 1964, as amended Fair Employment and Housing Act CCR 7288.0 CGC 12950.1 	DCA Equal Employment Opportunity Office
ADA/FEHA Training (reasonable accommodation)	All DCA proper Managers and Supervisors NOT boards and bureaus	No	Every two years	<ul style="list-style-type: none"> DCA Executive Memo 	DCA Equal Employment Opportunity Office
Basic Supervisor Training	New Supervisors	Within the probationary period or within 12 months of appointment	Same as mandate	<ul style="list-style-type: none"> CGC 19995.6 	SPB/DPA
Information Security Awareness Training	All DCA Staff (including students)	Yes, annually	Same as mandate	<ul style="list-style-type: none"> DOF BL 06-34 SAM 4841 Civil Code 1798 CGC 11019.9 	DCA Information Security Office
Privacy Awareness Training	All DCA Staff (including students)	Yes, annually	Same as mandate	<ul style="list-style-type: none"> MM 06-12 Civil Code 1798 CGC 11019.9 SAM 4840 	DCA Information Security Office
Ethics Orientation Training	Employees who are required to complete a statement of economic interest form	Within 6 months of appointment and at least biennially thereafter	Same as mandate	<ul style="list-style-type: none"> CGC 11146 CCR 20100 	Department of Justice
Labor Relations Training	All DCA Managers and Supervisors	No		<ul style="list-style-type: none"> Job-required 	DCA Labor Relations Office
Defensive Driver Training	State employees who frequently drive state vehicles, vehicles rented by the state or drive personal vehicles for state business	Yes, every 4 years.	Same as mandate	<ul style="list-style-type: none"> SAM 0751 	Department of General Services

14.2 Required Course Waiver

Supervisors or managers may waive one or more of the required course requirements for new employees if the employee has recently attended the required training and is still within the course renewal timeframe (if applicable). For example, a supervisor can waive the defensive driver training requirement for a new employee who will be frequently driving on DCA business if the employee has already taken the course, and is still within the four year gap allowed between refresher courses.

If waiving one or more required course requirements for an employee, supervisors and managers must notify the SOLID office of the waiver.

Be advised that the training needs of DCA are continually changing as the business needs of DCA evolve. Additional required courses may be identified and incorporated into the training guidelines on a permanent or temporary basis.

14.3 Proof of Completion

Employees are responsible for submitting proof of completion for required training courses to the SOLID office. Acceptable proof of completion may include one of the following:

- a. Course completion certificate
- b. Final exam/proficiency test with a passing mark
- c. Official course transcripts with a passing mark
- d. Verbal or written verification from the course instructor that you successfully completed the course

15.0 CONFERENCES

Regulations governing employee conference attendance can be found in 2 CCR § 599.635. If attending a conference, the employee must submit a completed DCA Conference Attendance Request Form to the Accounting Office and obtain approval prior to attendance. Employees are encouraged to check with their assigned Training Coordinator and/or the DCA Accounting Office for specific instructions on conference attendance.

16.0 TRAINING RECORD RETENTION

The SOLID office maintains training files for all current DCA employees. These files must include:

- a. Paper or electronic copies of completed approved training request forms for all out-service training completed.
- b. Proof of completion for all mandatory or DCA required training courses completed.

17.0 SELECTING TRAINING COURSES

17.1 Training Course Appraisal

When reviewing available courses for training, staff, supervisors and managers should take the following into consideration:

- a. To what extent will the employee use the information learned?
- b. Do the course objectives meet our training goal?
- c. Will successful completion of the training support the DCA in its mission?
- d. Are there mandatory prerequisites for the course and has the employee met them?
- e. If the training is not local, will a comparable course be offered in a closer, more cost-effective location in the near future?

- f. Will the benefits of this training equal or outweigh the cost?

17.2 Training Vendor Appraisal

When selecting a training vendor to conduct training, staff, supervisors and managers should take the following into consideration when making a selection:

- a. Amount of experience the vendor has had in training the subject matter.
- b. Quality and depth of the vendor's training expertise
- c. Qualifications and experience of the specific trainer(s)/speaker(s) conducting the training.
- d. Information provided by vendor references.

The SOLID training staff are available to assist in reviewing, selecting, and recommending training vendors and courses. A list of frequently used training courses and vendors can also be found on the SOLID intranet training page (see 23.0 Intranet Training Page.)

18.0 INDIVIDUAL DEVELOPMENT PLAN

The IDP, form Std. 637, defines the employee's development goals, specific objectives leading to the goals, and specific plans for meeting the objectives. The IDP serves several purposes:

- a. It assists the employee in defining his or her career goals and the specific steps that will be taken in an organized plan to meet the goals or objectives.
- b. It provides a format for consideration by the employee and his or her supervisor in examining the relevant work experiences, assignments, and/or formal training that may be used to assist the employee in achieving these goals or objectives.
- c. It serves as a guide to the department's personnel, training, and/or EEO Office in working with a designated upward mobility candidate and his or her supervisor to implement career plans.
- d. It becomes a part of the employee's training and experience record and will be utilized to evaluate future training requests.

Each IDP should include short-range (one to three year) goals, and if possible, long-range goals. The IDP may be modified at any time to reflect a change in the employee's goals. A short-range plan should identify specific, desirable, and immediate developmental experiences and the means for achieving them. A long-range plan need not be as detailed, but should reflect the kinds of experiences that will lead to attainment of the long-range goals. Developmental experiences may include work assignments, training, and self-study.

For more details on how to complete an IDP, please refer to the Individual Development Plan Guidebook available on the SOLID page of the DCA Intranet.

19.0 TRAINING RESOURCE LIBRARY

Many career and self-development courses are available to DCA staff in self-study format. The formats include computer based tutorials, video instruction, and workbooks. These self-study tools can be used to increase employee knowledge of a variety of topics.

The SOLID page of the DCA intranet contains a listing of these resources as well as their location and process for borrowing them. Suggestions for resources to be added to the library should be directed to the SOLID office.

20.0 INTRANET TRAINING PAGE

To enhance staff awareness of learning opportunities, a link to the Intranet training page will be added to both the DCA Intranet sites. Information contained on these pages will include:

- a. In-service, out-service and self-study training resources.
- b. Downloadable training forms.
- c. Training policies and guidelines.
- d. Web tutorials on a variety of subjects including the New Employee Orientation.
- e. Frequently used training vendors and their websites.
- f. Other training resources.

My signature on this acknowledgement form does not modify my employment relationship with DCA as set forth in the most current Memorandum of Understanding (MOU) appropriate to my employee bargaining unit.

(Printed Name)

(Signature)

(Date)

(Board/Bureau/Committee/Commission/Program/Division/Office)

Original: Office of Human Resources (Official Personnel File)
Copies: Employee, Supervisor